Army Systems Realignment and Categorization (SRAC) Guide

July 2004

MESSAGE

16 July 2004

Dear Reader,

Our purpose in publishing this Systems Realignment and Categorization (SRAC) Guide is to assist you with conducting a 100 percent IT systems inventory and categorization of your systems so you can identify the "as-is" portfolio for your business domain. This guide walks you through the steps of the SRAC process using a proven methodology that allows you to identify what systems perform which functions in the current environment.

Once your "as-is" portfolio is identified, each domain will be able to move on to the next step in portfolio management (PfM)—consolidation of system requirements—where the domains will evaluate their legacy systems and prioritize them according to the benefit they bring to the Army. The domains will also review recommendations for new systems during this phase. New systems must support or modernize a strategic or operational requirement or capability that is not currently being supported, and they must align with the Army and the Domain's Strategic Plan.

By completing a full inventory of your business IT systems, you will have accomplished a key milestone that supports the DoD guidance on IT portfolio management. In turn, your efforts will support the Army's alignment to the Business Enterprise Architecture (BEA) and the Secretary of Defense's Business Management Modernization Program (BMMP).

I am confident this SRAC guide will be a valuable resource in your efforts to develop your "as-is" IT portfolio and operational architecture. I encourage you to use this guide to complete this extremely important task.

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ARMY SYSTEMS REALIGNMENT AND CATEGORIZATION PROCEDURES

DoD recently published a new directive[1] on Information Technology Portfolio Management. This directive assigns responsibilities for managing information technology (IT) investments and states that IT investments shall be managed as portfolios. "Decisions on what IT investments to make, modify, or terminate shall be based on the Global Information Grid (GIG) Integrated Architectures, mission area goals, architectures, risk tolerance levels, potential returns, outcome goals and performance." The policy mandates that a portfolio management process will be established and will be comprised of four core activities: analysis, selection, control, and evaluation *(See Figure 1 pg. iv)*.

The Army Enterprise Integration Oversight Office (AEIOO) has the responsibility of enterprise integration oversight, which includes portfolio management oversight. AEIOO's organization aligns with the DoD business domains to facilitate oversight of the Army's Information Technology Portfolio of Investments. AEIOO ensures the Army business domains comply with both Army and DoD portfolio management requirements and align with public law and DoD and Army regulations.

The Army portfolio management process is a six-step process that mirrors DoD's four core PfM activities *(See Figure 1 pg. iv)*:

- Review and develop the domain strategic plan, which is based on the Army Strategic Planning Guidance and the Army Campaign Plan.

- Inventory and categorize systems and update the Army Information Technology Registry (AITR).

- Consolidate system requirements and update the AITR.

- Develop enterprise architecture (EA) and planning and budgeting exhibits.

- Obtain Army approval—domain owner, CIO/G6, G8, and ASA(FM&C).

[1] Office of the Secretary of Defense, *Information Technology Portfolio Management,* 22 March 2004 (Enclosed).

SIX STEPS TO THE ARMY PfM PROCESS:

1. **Develop/Review Strategic Plan**

2. **Inventory Systems**

3. **Consolidate System Requirements**

4. **Develop EA, Planning, and Budget Documents**

5. **Obtain Army Approval**

6. **Obtain DoD Approval**

(See Figure 1 pg. iv)

- Obtain DoD approval—domain owner, Business Enterprise Architecture (BEA) Compliance Assessment, Business Modernization Systems Integration (BMSI), DoD CIO, and DoD Comptroller.

This document is concerned primarily with the second step in the IT portfolio management process: Inventory systems. The Systems Realignment and Categorization (SRAC) Guide was developed to help inventory and categorize domain systems. The unique methods of this web-based tool follow the first step in the portfolio management process: Development or review of the strategic plan.

Before domain owners can inventory their systems, they must develop a work breakdown structure (WBS), which will help them understand the functions and tasks supported by their systems.

SRAC provides a standard methodology for the collection and categorization of IT requirements for each domain's portfolio of systems—an important part of building and managing the portfolio. The SRAC procedure is tailored by each business domain to meet its specific domain requirements, with the end state a categorized list of IT assets. This information helps to document the system functionality, which provides the data required for the next step in the portfolio management process: Consolidate system requirements. In this next step, the SRAC results can be used when making key decisions about which systems will remain in the domain's portfolio.

Data collected during the SRAC process can be used as a starting point to develop the operational views (OV), system views (SV),

and technical views (TV) using the Department of Defense Architecture Framework (DODAF) or other architecture tool that will represent the future Army Enterprise Architecture.

The information collected during the SRAC process can also be used to update the AITR and the initial operational view activity model (OV-5) under the DoD Business Management Modernization Program (BMMP) Transition Plan. Subsequent updates can employ the AITR update procedures or the domain's electronic tool.

This SRAC guide describes how to inventory and categorize the IT systems within a domain in order to make decisions about which systems should be retained, upgraded, or retired within the portfolio of systems. This guide—like the SRAC process—is divided into five phases that ensure the Army's universe of systems is carefully inventoried and analyzed *(See Figure 1 pg. iv):*
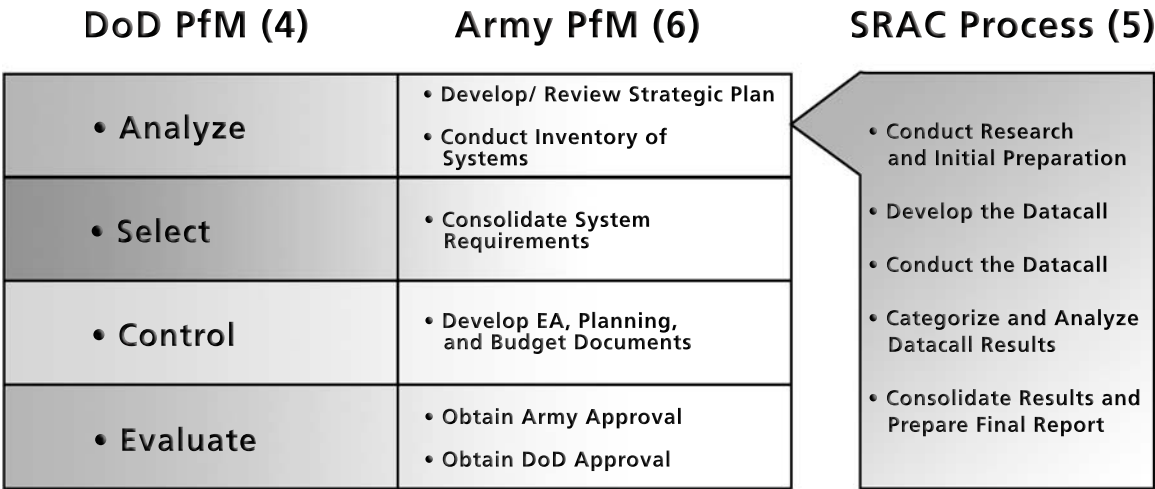
I. Conduct research and initial preparation

II. Develop the datacall

III. Conduct the datacall

IV. Categorize and analyze datacall results

V. Consolidate results and prepare final report

FIGURE 1. CROSSWALK OF DoD CORE ACTIVITIES TO ARMY PORTFOLIO MANAGEMENT PROCESS AND SRAC PHASES
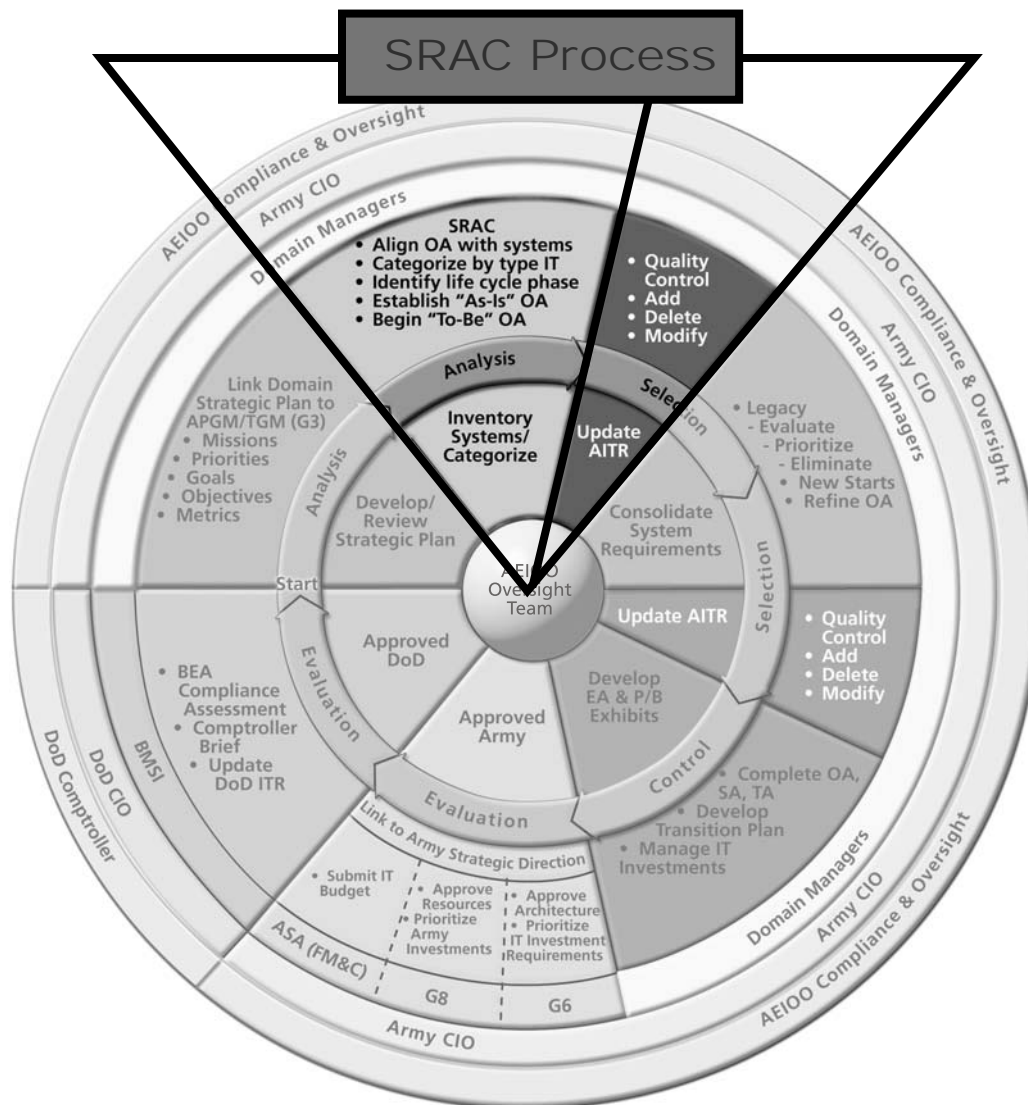
FIVE PHASES OF THE SRAC PROCESS:

1. **Conduct Research and Initial Preparation**

2. **Develop the Datacall**

3. **Conduct the Datacall**

4. **Categorize and Analyze Datacall Results**

5. **Consolidate Results and Prepare Final Report**

(See Figure 1 pg. iv)

DoD PfM (4)	Army PfM (6)	SRAC Process (5)
• Analyze	• Develop/ Review Strategic Plan • Conduct Inventory of Systems	• Conduct Research and Initial Preparation
• Select	• Consolidate System Requirements	• Develop the Datacall
• Control	• Develop EA, Planning, and Budget Documents	• Conduct the Datacall • Categorize and Analyze Datacall Results
• Evaluate	• Obtain Army Approval • Obtain DoD Approval	• Consolidate Results and Prepare Final Report

PORTFOLIO MANAGEMENT PROCESS

SRAC Process

SRAC
- Align OA with systems
- Categorize by type IT
- Identify life cycle phase
- Establish "As-Is" OA
- Begin "To-Be" OA

- Quality Control
- Add
- Delete
- Modify

Link Domain Strategic Plan to APGM/TGM (G3)
- Missions
- Priorities
- Goals
- Objectives
- Metrics

Analysis

Selection

Inventory Systems/Categorize

Update AITR

- Legacy
  - Evaluate
  - Prioritize
  - Eliminate
- New Starts
- Refine OA

Develop/Review Strategic Plan

Consolidate System Requirements

AEIOO Oversight Team

Start

Analysis

Approved DoD

Update AITR

- Quality Control
- Add
- Delete
- Modify

- BEA Compliance Assessment
- Comptroller Brief
- Update DoD ITR

Evaluation

Approved Army

Develop EA & P/B Exhibits

Control

Selection

- Complete OA, SA, TA
- Develop Transition Plan
- Manage IT Investments

Evaluation

Link to Army Strategic Direction

- Submit IT Budget
- Approve Resources
- Prioritize Army Investments
- Approve Architecture
- Prioritize IT Investment Requirements

ASA (FM&C)

G8

G6

AEIOO Compliance & Oversight
Army CIO
Domain Managers
DoD Comptroller
DoD CIO
BMSI

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CONDUCT RESEARCH AND INITIAL PREPARATION

1 Identify the critical goals and objectives

2 Identify the key stakeholders

3 Obtain a functional work breakdown structure

4 Identify target points of contact

**5** Develop a datacall baseline

This phase will give you the tools you need to successfully categorize the systems within your domain. It is the most critical phase of the SRAC. Regular communication between the Army's representative and the units or organizations that will answer the electronic datacall is imperative. Although the steps in this phase are often very time consuming, all of the requirements are necessary to successfully complete the datacall and the SRAC process.

At the onset, **identify the critical goals and objectives** for the electronic datacall based on the needs of the domain and the Army. The SRAC team, those who administer the SRAC process, should have a clear understanding of the data that needs to be collected to support the goals and objectives. By staying focused on these requirements, the questions asked during the electronic datacall can be limited to only those that are necessary. This is important for maximizing the datacall participation and minimizing the time it takes to complete the datacall.

Based on the goals and objectives, the domain should use standard DoD or Army definitions for the IT information collected. These standard definitions should be annotated in the datacall.

Identify the key stakeholders for the SRAC project. This team must be capable of managing the project, tracking the timeline, developing the datacall questions, and analyzing and reporting the results. The team will also need a qualified software analyst capable of developing or selecting a web-based datacall.

Once the goals and objectives have been defined, the team should
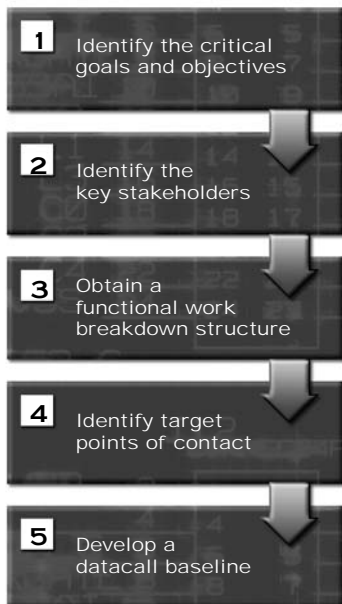
obtain a functional work breakdown structure (WBS). The functional WBS is the high-level description of the functional requirements that the domain systems support. Many domains may be in the process of reengineering their business processes and developing functional WBS's; nonetheless, it is important to map legacy systems to a functional WBS that matches the functions of the legacy systems. If a functional WBS for your domain is not available, one must be built. The naming conventions for the first three functional levels should be functions, sub-functions, and supporting tasks. The function is the high-level task or domain (e.g., Logistics). The sub-functions equate to the missions that support the major function (e.g., supply management, maintenance management), and the supporting tasks are more specific tasks that support the sub-functions (transportation authorization, traffic management, etc.) *(See Figure 2)*.

FIGURE 2. NAMING CONVENTIONS
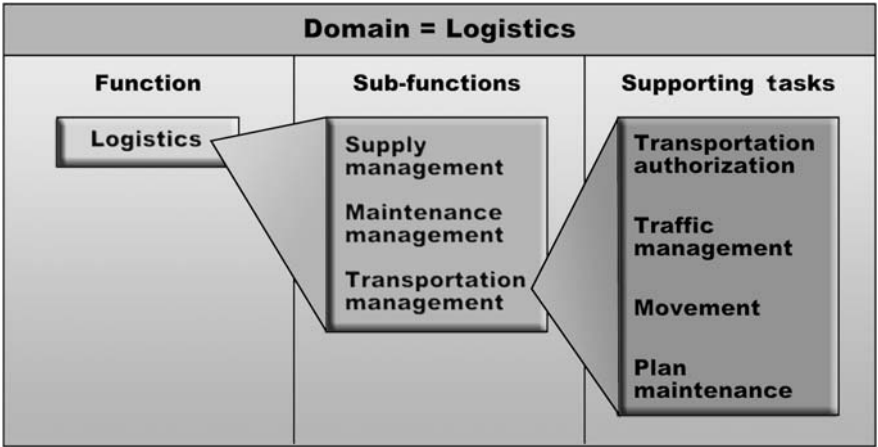
The domains should move toward a standard reference model to document the WBS. DoD has recently released a draft set of enterprise architecture reference models (including a Business

Reference Model (BRM)) that are specific to DoD functions. The naming conventions of these reference models should be used. For more information, please visit the DoD Reference Model at *https://ca.dtic.mil/nii/ea/DoD/EA_Executive_Summary.htm.*

Identify target points of contact, those who will answer the datacall. First, it is important to know which organization you will target to answer the datacall. Second, identify who within these organizations should answer the datacall. Third, gather point of contact (POC) information on these organizations and people so you can communicate with these contacts in the future. Examples of organizations to target might include major commands (MACOMs), field operating agencies (FOAs), program executive offices (PEOs), and Headquarters Department of the Army (HQDA) staff. Who within the organization should answer the datacall depends upon what kind of information you are gathering. For example, if you are from the Accounting and Finance Domain, you should target the resource managers; if you are from the Logistics Domain, you should target the logistics managers *(See Figure 3).*

FIGURE 3. IDENTIFYING WHO SHOULD ANSWER THE DATACALL

Domain	Sample Organization	Directorate	Division
Finance and Accounting Logistics	TRADOC FORSCOM	G8 G4	Finance and Accounting Logistics

domain subject matter experts (SMEs) should review the baseline for redundancy and accuracy. The baseline must contain an organization responsible for each system for validation. Once refined, the baseline will be used to populate the datacall with known systems.

After all of these steps are complete, you are ready to begin Phase II and develop the datacall.

DEVELOP THE DATACALL

1 Collect point of contact information

2 Determine how you will monitor your progress

3 Develop reminder letters

4 Determine how long to keep the datacall open

In this phase we complete a series of administrative tasks, develop a series of appropriate datacall questions, outline the datacall requirements, and program and test the datacall. At the close of Phase II you will be ready to implement a web-based datacall.

There are several administrative tasks that must be completed. Immediately following Phase I, **collect point of contact information** from targeted organizations. Prepare a letter announcing the datacall and asking for appropriate POCs. This letter should be signed by the domain owner to provide high-level emphasis. This is a time-consuming action as the letter takes time to staff, distribute, and receive responses. This process can take as little as 35 days, but may take much longer unless it is managed carefully. The letter need not be specific; leave the details of the datacall for the instruction letter that is transmitted with the initiation of the datacall in Phase III.

While you wait for points of contact, **determine how you will monitor the progress of the datacall.** It is important to identify who has completed the datacall, who has partially completed the datacall, and who has not started the datacall.

Develop reminder letters to send to participants who have not completed the datacall by set dates. Reminder form letters or e-mails should be sent at regular, programmed intervals throughout the datacall (e.g., halfway and three quarters of the way through) and should relay the number of working days remaining to meet the suspense date. Send out final notifications no later than 48 hours before the suspense date, remembering POC's are working in different times zones around the world.
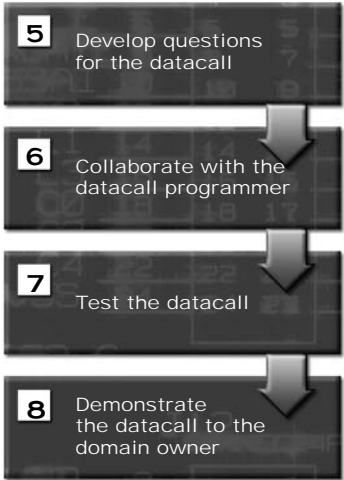
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Identify how long you will keep the datacall open (30 calendar days is recommended). Interaction with participants is essential to the success of the datacall and will preclude the need for an extension. In fact, failure to communicate with the non-responsive organizations will jeopardize the quality of the data received for final SRAC analysis.

Once the administrative tasks are complete, **develop the questions for the datacall.** Questions should be based on the key goals and objectives identified in Phase I, and if these questions are in the AITR/DoD ITR, the answers on the datacall should map appropriately to these sources.

How you organize and phrase questions is as important as the questions you ask. Their order and phrasing should be logical and easy to follow. There should be four key sections in the data- call: POC information, update/edit systems on the baseline, add systems to the baseline, and comments. Additional sections can be added based on the domain's requirements.

There is flexibility in how the datacall is set up, so **collaboration with the datacall programmer or program analyst** is help-ful when making development decisions. For example, who will answer the datacall, and how many levels will be built? The pro-grammer can assign each MACOM a primary account to answer ini-tial parts, and then set up analyst accounts so subordinate units can respond to latter parts. Another decision involves the authorization process. If a subordinate unit is answering the datacall, does the MACOM representative need to validate the entries? Should the

5 Develop questions for the datacall

6 Collaborate with the datacall programmer

7 Test the datacall

8 Demonstrate the datacall to the domain owner

After the domain conducts a full inventory of their systems and has good working knowledge of the systems in their portfolio, a government or commercial off-the-shelf tool can be used to manage and routinely update the domain portfolio.

MACOM have oversight of the data or the completion requirements? These are just a few of the many questions that need to be asked, with answers provided to the programmer/ program analyst in order to place the appropriate controls on the datacall.

Security requirements are another important consideration. Determine how screen names and passwords will be assigned and distributed, and what levels of control are necessary. Participants often forget passwords. The programmer can develop a help utility to assist in resetting these passwords.

The programmer can assist in setting up a help desk to facilitate communication between participants and the SRAC help desk team. There are a number of ways to facilitate help during the datacall. The easiest is to provide the names, phone numbers, and e-mail addresses of the SRAC help desk team under a help desk button on the datacall. Another method is to have the programmer develop a utility that sends an e-mail directly the help desk. The help desk should be able to answer both functional and technical questions.

Remember to **test the datacall**—and all supporting technology—to ensure it works. **Meet with the domain owner or representative** to demonstrate what they will be presenting to the Army.

Once the chain of command has viewed and approved the datacall, it is time to conduct the datacall, which is Phase III.

CONDUCT THE DATACALL

1 Initiate the datacall

2 Monitor the datacall

3 Staff help desk
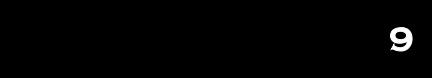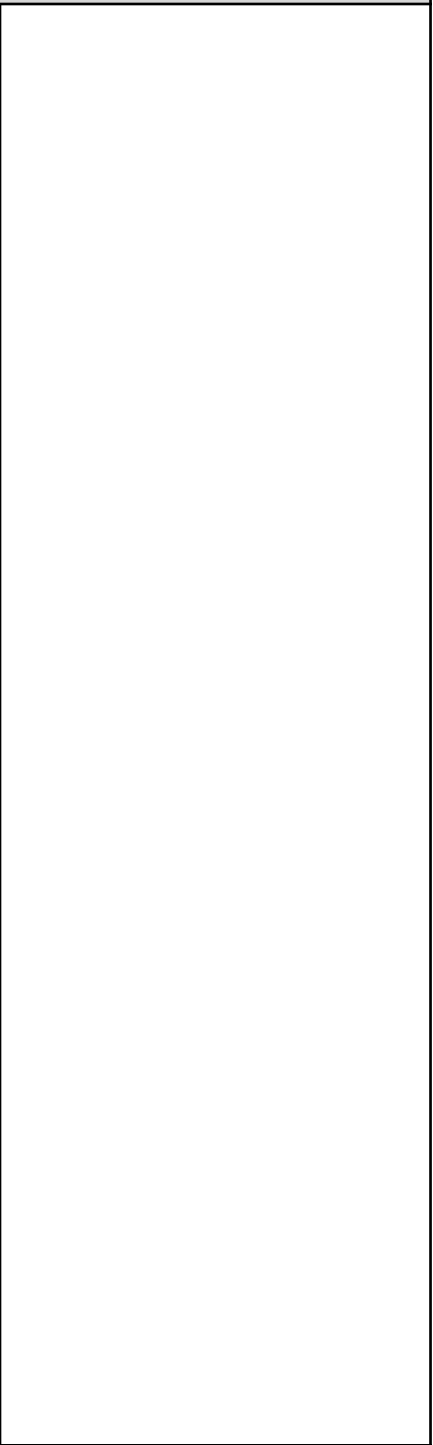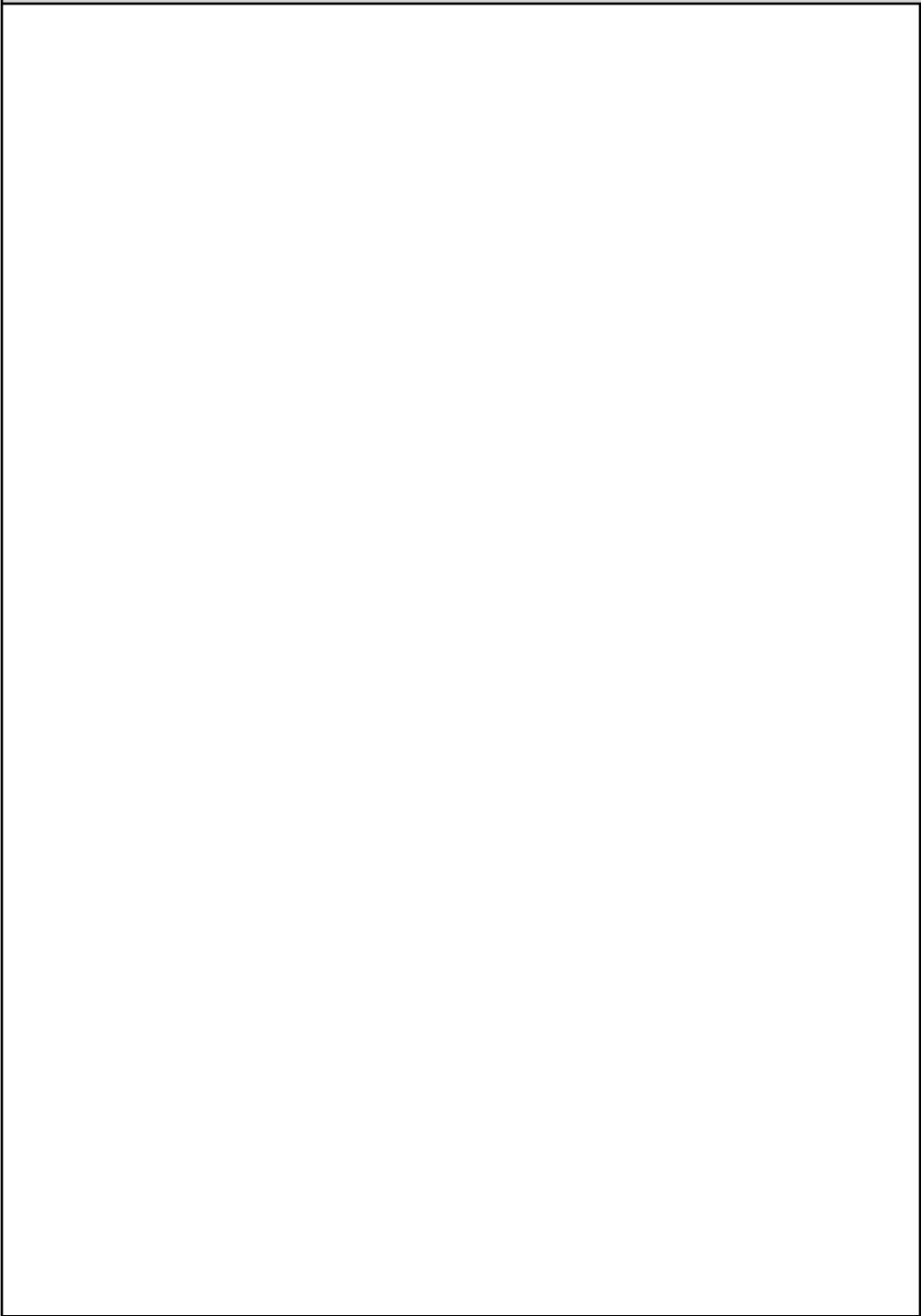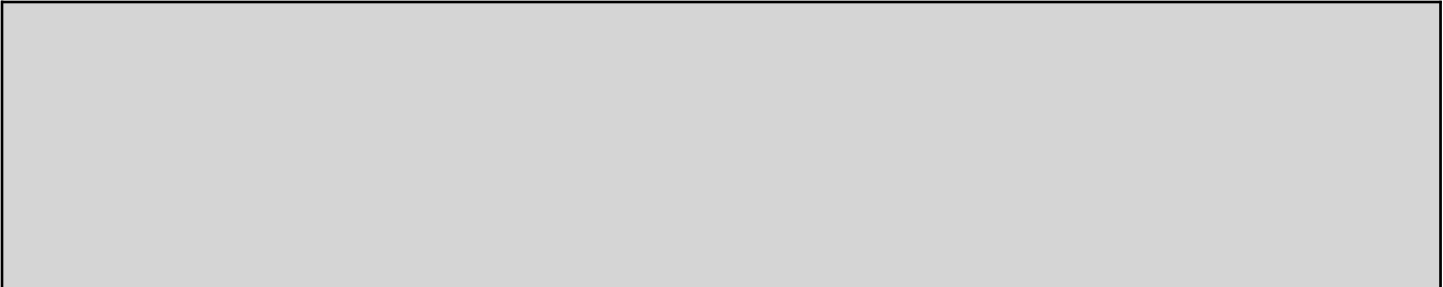
4 Close the datacall

During this phase you will conduct the actual web-based datacall for the length of time determined in Phase II. At the close of Phase III you will be ready to present the datacall results.

The first step in Phase III is to **initiate the datacall.** E-mail the instructions for completing the datacall to each participant. Personalized instructions should include screen names and the website address, as well as the corresponding password.

Regularly **monitor the datacall** to check its completion status. Send out letters (at intervals determined in Phase II) to the commands that have not completed the datacall, reminding them of the number of working days remaining to meet the suspense date. Also, provide your chain of command with a weekly status report. The government point of contact should coordinate frequently with the datacall participants via telephone. These frequent calls to participants can increase the SRAC participation level. Low levels of participation results in a lack of data, which can severely influence both the quality and the results of the datacall.

Staff the datacall help desk throughout the datacall, and ensure attendants can provide any technical and functional support according to fixed customer service standards. If time permits, you can start planning for Phase IV.

At the conclusion of the datacall, the participation results should be provided to the domain. If the results are not adequate, consider

extending the datacall for a short period to capture the required information. Once you **close the datacall** and the domain is satisfied with the participation level, you are ready to categorize and analyze the data in Phase IV.

Based on research, established goals, objectives, and any new requirements, the SRAC team should determine the method for presenting the results.
An initial review of collected data will determine how to display the final results for the best effect.

CATEGORIZE AND ANALYZE DATACALL RESULTS

1. Categorize your data
2. Analyze the data
3. Identify trends
4. Expose key findings

By the end of this phase, you will be ready to produce a final report. In Phase IV you will categorize and analyze the information collected during the datacall.

The first step in this phase is to **categorize your data** according to the types of systems identified in Phase I. For example, if you choose to examine only automated information systems (AIS), you need to examine the updated baseline and categorize the line items according to the type of IT. All other line items (databases, enabling technology, etc.) should be excluded before you analyze the data.

Once all the data entries have been categorized, **analyze the data** based on the type of IT and the system information you need. During analysis, you are looking for trends, issues, and key findings for your final report. The answers to the following questions are typically of interest to a domain:

- Which systems support which functional areas?

- Which systems belong to which domains?

- Which systems are mission-critical or mission-essential?

- Which systems have what kind of technology?

- Which systems have interfaces?

- What kind of technology do the systems with interfaces employ?

- Which systems are unique to the MACOM or organization?

- Which systems are scheduled for consolidation or retirement?

Review the datacall results and **identify trends** that might answer these questions. For example, if more than 50 percent of the systems and databases are used by only one MACOM or organization, it might be important to identify more specific information for MACOM- or organization-unique systems:

- What are the names and descriptions of these unique systems?

- What organization owns the unique systems?

- What functions, sub-functions, and supporting tasks do these unique systems support?

- Are any of these unique systems scheduled for consolidation/ retirement?

    4 Which ones?

    4 When will that occur?

    4 What system, if any, will replace them?

Interfaces might be another area for further analysis. If a high number of interfaces are reported, identify additional information about them based on the data you collected. Consider the following questions:

- How many systems have interfaces that connect to systems that are scheduled for consolidation/retirement?

- How many unique systems have interfaces with systems scheduled for consolidation/retirement?

- How many systems with interfaces are mission-critical?

Review of this more defined data will **expose several key findings,** which you can examine further to illustrate your key points. For instance, you can identify supporting tasks and sub-functions to specific systems, show mission essentiality, and indicate systems that should be scheduled for consolidation—all on one chart.

Once the results have been categorized and the analysis is complete, it is time to move to Phase V to consolidate the results and prepare the final report.
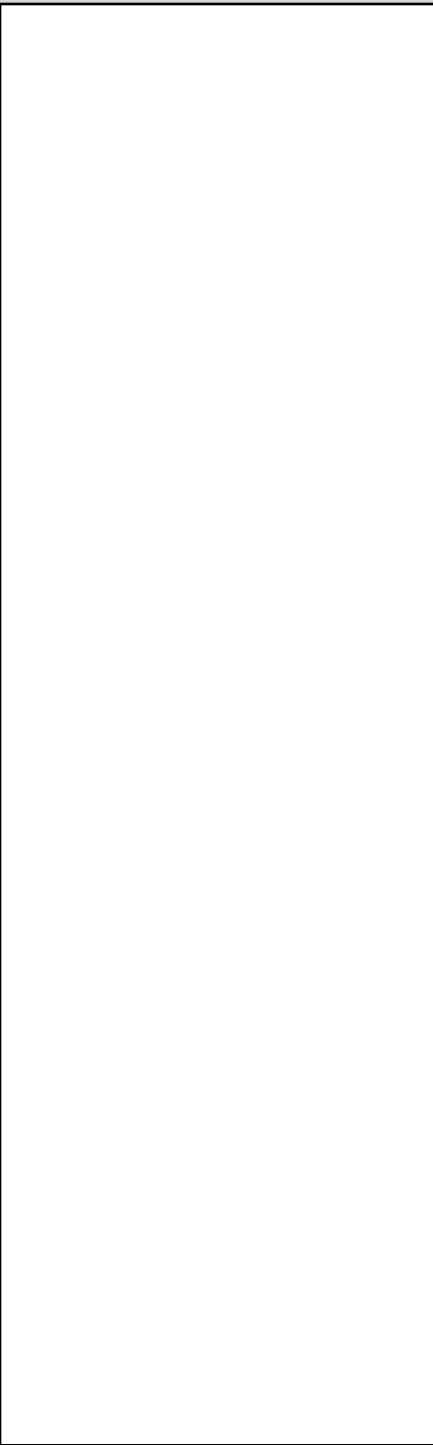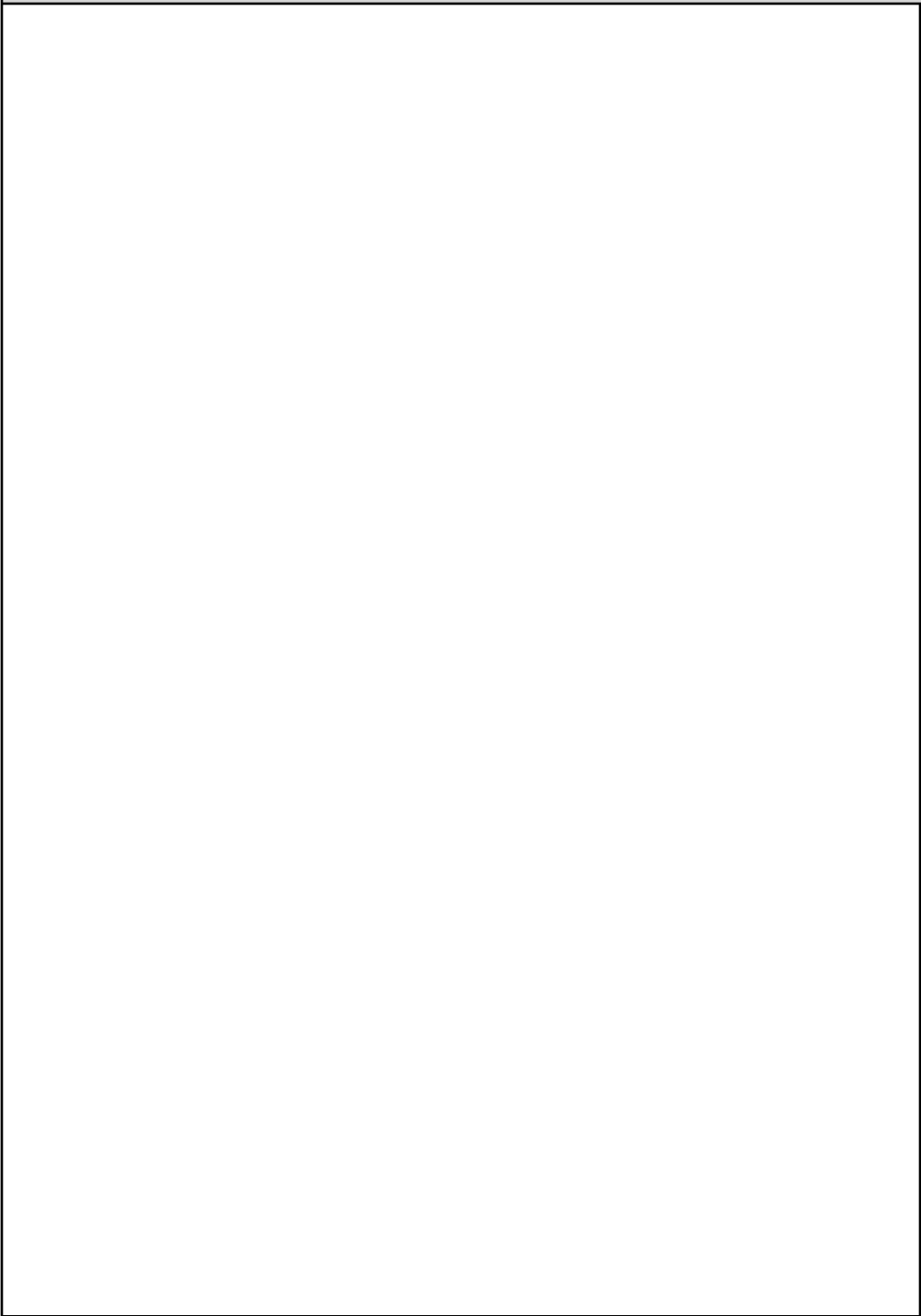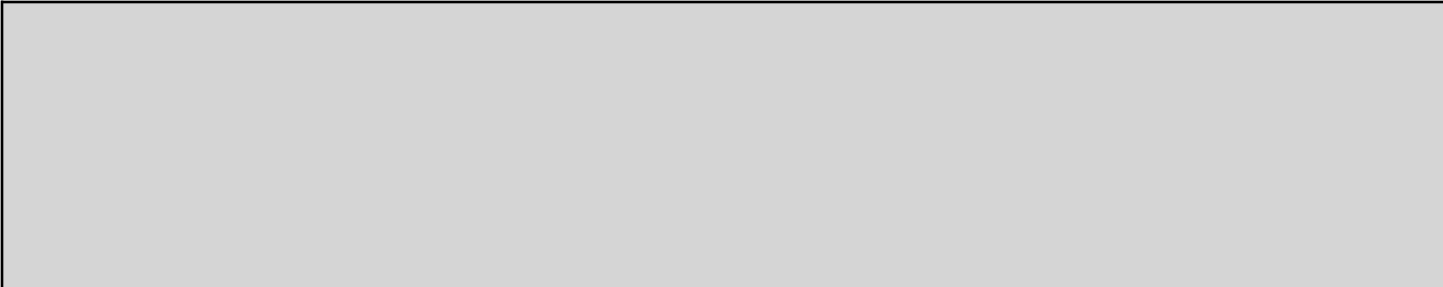
CONSOLIDATE RESULTS AND PREPARE FINAL REPORT

During this phase, you will review the information collected in Phase IV and start writing a final report.

Once you completely **review the results from Phase IV,** you are ready to **prepare your report.** The report can be written in many different formats; however, to get a good picture of the SRAC process, and to document the history of the datacall, consider breaking it into the following three sections, using illustrations wherever applicable:

1. Datacall participation results

2. Datacall results

3. Datacall findings based on the analysis of the data

DATACALL PARTICIPATION RESULTS

When reporting the datacall participation results, present participation statistics—namely how many participants answered the datacall and any significant information that might have contributed to low (or high) participation numbers. Charts can be very effective in displaying complex information across several systems *(See Figure 4).*

FIGURE 4. SAMPLE DATACALL PARTICIPATION CHART

KEY
Number of Systems   Added AISs
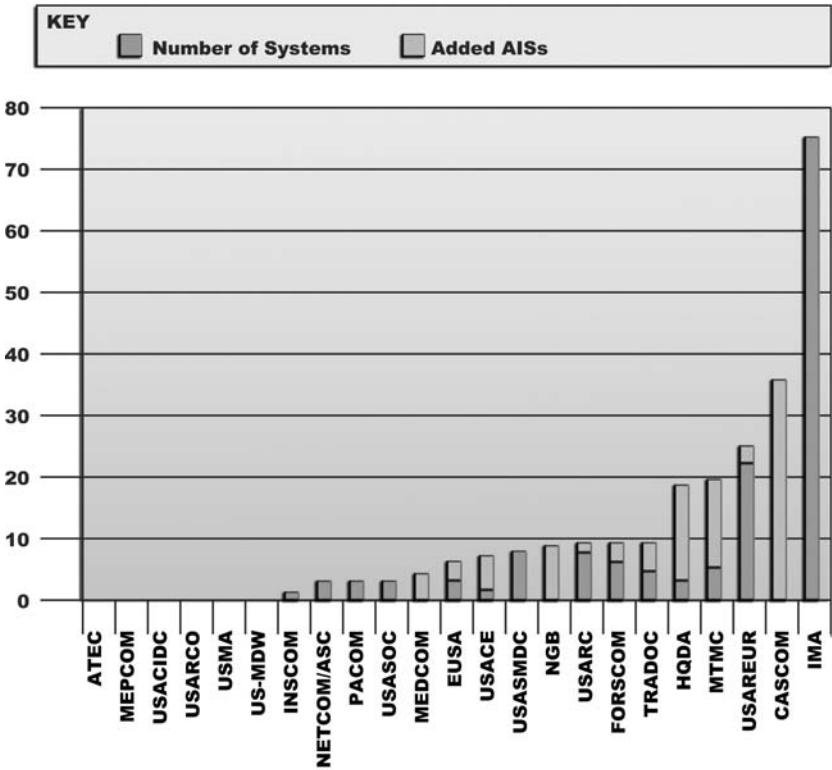
DATACALL RESULTS

In the next section, present the systems information reported during the datacall. Review how many systems were reported (or added to the datacall) by each participant, and how many systems each participant updated. This section should also convey how many line items you started with, how many you ended with, and how you got from one point to another. *Figure 5* is an example of what information should be conveyed, and how to best convey it.

FIGURE 5. SAMPLE DATACALL RESULTS TABLE

	Adjustment	Balance
+Consolidation		800
-Duplicates	(300)	500
-Non-AIS	(300)	200
+Datacall Results	150	350
-Database	(50)	300
-Enabling Technology	(25)	275
-Other	(150)	125
-Duplicates	(20)	105
-Joint	(10)	95
-DoD	(10)	85
AIS		85

DATACALL FINDINGS

The final portion is the most important part of the datacall. In it, you will summarize key findings, align the findings with the goals and objectives identified in Phase I, and then explain trends that were identified as a result of the analysis in Phase IV, using illustrations where appropriate.

Figure 6 is an example of how data can be displayed in the final report. This chart illustrates the complexity of system functionality. It shows the number of sub-functions or supporting tasks that each system supports and assigns a level of complexity. If you are going to eliminate a system, remember the more functions a system supports, the more interfaces it will have, and the more complex it will be to eliminate. A system supporting only one function may be easier to eliminate or consolidate.

FIGURE 6. SAMPLE ILLUSTRATION OF DATACALL FINDINGS
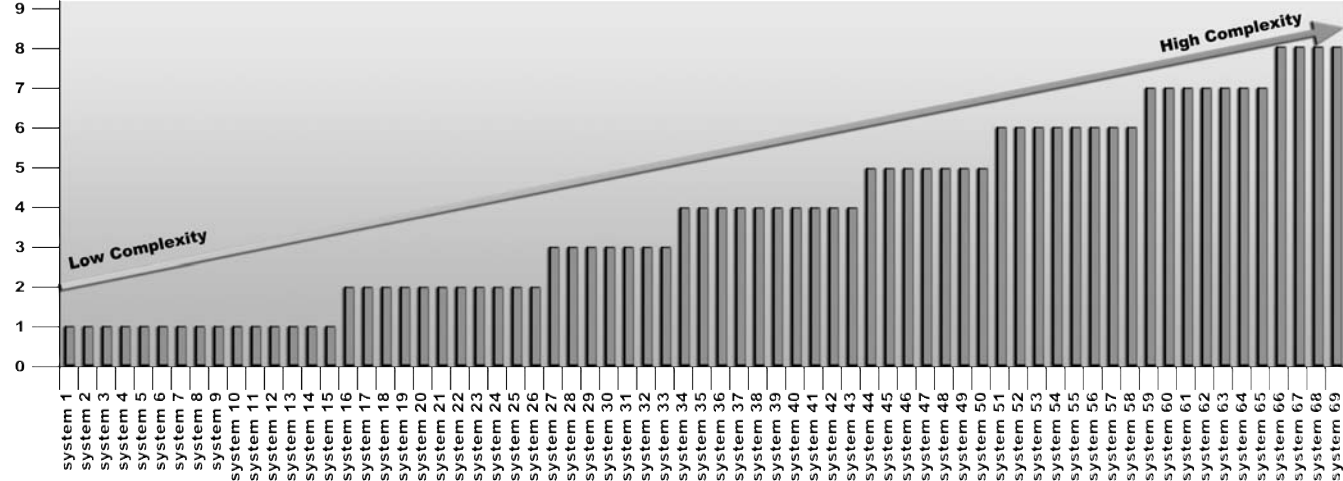
Other illustrations *(Figure 7 pg. 21)* can graphically answer four of the questions identified in Phase IV.

- Which systems support which sub-functions and supporting tasks?

- Which systems are mission-critical or mission-essential?

- Which systems are unique to the MACOM or organization?

- Which systems are scheduled for consolidation or retirement?

Figures 6 and 7 are just two examples of the many different ways the data can be displayed.

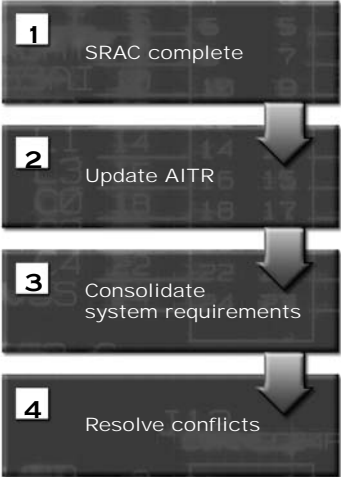Once the information is collected and the report is written, **prepare a briefing** to the domain owner to describe the findings and the results of the datacall.

Logistics sub-functions and subordinate tasks

1. Manage Requirements
1.1 Plan requirements
1.2 Determine requirements
1.3 Measure performance

2. Manage acquisition
2.1 Acquire items and services
2.2 Acquire technical data and systems
2.3 Acquire material; and system acquisition

3. Manage supply/inventory
3.1 Manage tactical operations
3.2 Manage national level inventory
3.3 Manage national technical data
3.4 Manage material storage

4. Manage transportation
4.1 Authorize transportation
4.2 Manage traffic
4.3 Conduct movement
4.4 Plan maintenance

5. Manage maintenance
5.1 Perform organization maintenance
5.2 Perform intermediate maintenance
5.3 Perform depot maintenance

6. Manage reutilization and marketing
6.1 Maintain item visibility
6.2 Reutilize item
6.3 Sell item
6.4 Scrap and waste item

7. Manage information resources
7.1 Manage information and communication technology
7.2 Develop business applications
7.3 Manage data

8. Manage financial resources
8.1 Plan, program and budget
8.2 Execute budget and plans
8.3 Manage core accounting and general ledger
8.4 Manage property and assets

9. Manage reporting
9.1 Produce internal standard reports
9.2 Produce ad-hoc reports
9.3 Produce external reports

Note: M = MACOM-unique system, X = Not MACOM-unique

Column categories: Mission Critical | Mission Essential | Neither | Scheduled for Consolidation

Summary columns (right side):
- Total number of systems performing subfunction/supporting task
- Number of MACOM-unique systems performing sub-function/supporting task
- % of performing systems that are MACOM-uniques

Total	Number MACOM-unique	%
35	9	54%
24	12	
25	12	
27	17	
19	13	68%
14	8	
3	3	
10	8	
45	26	58%
23	8	
12	6	
3	2	
32	18	
20	8	40%
9	3	
11	4	
10	2	
5	2	
25	16	64%
21	13	
19	11	
12	8	
18	11	61%
16	10	
7	4	
0	0	
3	2	
22	12	55%
4	1	
3	2	
12	2	
27	19	70%
12	9	
4	3	
7	5	
17	11	
43	26	60%
39	23	
36	22	
34	19	

CONCLUSION

After the **SRAC process is complete,** the next step within the portfolio management process is to **update the AITR.** The CIO/G6 can facilitate the effort to transfer electronic data. The domain manager is responsible for the quality control of the domain's IT systems listed on the AITR, and will coordinate with the other Army domains to resolve any conflicts in system ownership.

Once the data is updated on the AITR, the entire registry should be evaluated. If a system is not on the validated SRAC list, but is on the AITR, it should be scheduled for disposal and removed from the AITR (in collaboration with the system's owner). The CIO/G6 should be able to resolve any issues regarding utilization of systems.

Once the domain's IT systems are added, deleted, or catalogued based on the results of the SRAC process, you are ready to **consolidate systems requirements**—the next step in the portfolio management process. This is the opportunity for the domains to evaluate the legacy IT systems based on the SRAC output. Systems will be evaluated, prioritized, and scheduled for disposal, as appropriate. In this next PfM step you will also review any new initiatives based on new requirements in the strategic plan. Once the decisions are made, an operational architecture can be completed to reflect the domain's decisions.

1 SRAC complete

2 Update AITR

3 Consolidate system requirements

4 Resolve conflicts

INFORMATION TECHNOLOGY PORTFOLIO MANAGEMENT